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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No.: Unknown
Filed: Herewith
Inventors:
Bernard A. Traversat
Michael J. Duigou
Thomas E. Saulpaugh
Gregory L. Slaughter
Title: CACHING MECHANISM
FOR A VIRTUAL HEAP

§ Examiner: Unknown
§ Group/Art Unit: Unknown
§ Atty. Dkt. No: 5181-49801
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CERTIFICATE OF EXPRESS MAIL
UNDER 37 C.F.R. §1.10

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Alexandria, VA 22313-1450


Derrick Brown

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Applicant requests consideration of ☒ the references listed on the attached Form PTO-1449 and/or ☐ the additional information identified below in paragraph 3.

☐ A copy of each required reference listed on the Form PTO-1449 is enclosed.

☒ The references listed on the Form PTO-1449 were previously cited in application serial no. 09/587,110 to which the captioned application is seeking priority under 35 U.S.C. §120; therefore, a copy of each reference is not enclosed.

☒ The present application is a U.S. national patent application filed after June 30, 2003, or an international application that entered the national stage under 35 USC § 371 after June 30, 2003. Therefore, copies of the cited U.S. patents and/or U.S. patent application publications are not enclosed.

1. This Information Disclosure Statement is submitted:

a. ☐ within 3 months of the filing date of a national application other than a continued prosecution application under § 1.53(d);

- ☐ within 3 months of the date of entry of the national stage as set forth in § 1.491 in an International application;
- ☒ before the mailing date of a first Office Action on the merits; or
- ☐ before the mailing of a first Office Action after the filing of a request for continued examination under § 1.114.
- b. ☐ after the events of above paragraph 1a and prior to the mailing date of a final Office Action or Notice of Allowance, and thus: ☐ the certification of paragraph 2 below is provided, or ☐ a fee of \$180.00 (submitted with electronic IDS).
- c. ☐ after the mailing date of a final Office Action or a Notice of Allowance and prior to payment of the issue fee, and thus: the certification of paragraph 2 below is provided and a fee of \$180.00 is enclosed.

2. It is hereby certified:

- ☐ that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in § 1.56(c) more than thirty (30) days prior to the filing of the information disclosure statement;
- ☐ that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the Statement; or
- ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in § 1.56 (c) more than three (3) months prior to the filing of the Statement.

3. ☐ Consideration of the following additional information (including any co-pending or abandoned U.S. applications, prior uses and/or sales, etc.) is requested:

4. For each non-English language reference listed on the attached Form PTO-1449:

- ☐ reference is made to an English language translation submitted herewith, and/or
- ☐ reference is made to a foreign patent office search report (in the English language) submitted herewith, and/or
- ☐ reference is made to an English language translation of a foreign patent office search report submitted herewith, and/or
- ☐ reference is made to the concise explanation contained in the specification of the present application at page(s) _____, and/or
- ☐ reference is made to the concise explanation set forth below:

5. ☐ Applicant also offers the following comments for the Examiner's consideration:
6. ☐ Also enclosed is a copy of a foreign search report citing these references.
7. ☐ The listed documents were brought to the attention of the Applicant(s) after payment of the issue fee in the captioned case. The documents were cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. Applicant(s) request this Information Disclosure Statement and attached Form PTO-1449 be placed in the file of the captioned application.
8. ☐ Applicant(s) requests that the Information Disclosure Statement and attached Form PTO-1449 and references, which are being filed before the grant of the patent and pursuant to 37 C.F.R. § 1.97(i), be placed in the file of the captioned application.

If any required fees are missing, the Commissioner is authorized to charge said fees to Meyertons, Hood, Kivlin, Kowert & Goetzel, P.C. Deposit Account No. 501505/5181-49801/RCK.

Respectfully submitted,



Robert C. Kowert
Reg. No. 39,255
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Date: February 20, 2004

Form PTO-1449 (modified) List of Patents and Publications For Applicant's Information Disclosure Statement (Use several sheets if necessary)			ATTY. DKT. NO. 5181-49801 APPLICANT: Traversat et al. FILING DATE: Herewith		SERIAL NO. Unknown GROUP: Unknown		
U.S. PATENT DOCUMENTS							
EXAM. INITIALS	REF. DES.	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES/NO
		6,480,862	11/02	Thomas Alan Gall			
		6,070,173	5/00	Huber, et al.			
		5,778,187	7/7/98	Monteiro, et al.			
		5,832,529	11/3/98	Wollrath, et al.			
		5,455,952	10/3/95	Gjovaag			
		5,386,568	1/31/95	Wold, et al.			
		5,423,042	6/6/95	Jalili, et al.			
		5,481,721	1/2/96	Serlet, et al.			
		5,557,798	9/17/96	Skeen, et al.			
		5,944,793	8/31/99	Islam, et al.			
		5,946,485	8/31/99	Weeren, et al.			
		5,946,694	8/31/99	Copeland, et al.			
		4,491,946	1/1/85	Kryshow, Jr., et al.			
		4,713,806	12/15/87	Oberlander, et al.			
		4,809,160	2/28/89	Mahon, et al.			
		4,939,638	7/3/90	Stephenson, et al.			
		5,088,036	2/11/92	Ellis, et al.			
		4,823,122	4/18/89	Mann, et al.			
		4,956,773	9/11/90	Saito, et al.			
		5109,486	4/28/92	Seymour			
		5,187,787	2/16/93	Skeen, et al.			
		5,218,699	6/8/93	Brandle, et al.			
		5,257,369	10/26/93	Skeen, et al.			
		5,293,614	3/8/94	Ferguson, et al.			
		5,297,283	3/22/94	Kelly, Jr., et al.			
		5,307,490	4/26/94	Davidson, et al.			
		5,311,591	5/10/94	Fischer			

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		5,339,435	8/16/94	Lubkin, et al.			
		5,390,328	2/14/95	Frey, et al.			
		5,440,744	8/8/95	Jacobson, et al.			
		5,448,740	9/5/95	Kiri, et al.			
		5,452,459	9/19/95	Drury, et al.			
		5,471,629	11/28/95	Risch			
		5,475,792	12/12/95	Stanford, et al.			
		5,475,817	12/12/95	Waldo, et al.			
		5,504,921	4/2/96	Dev, et al.			
		5,511,197	4/23/96	Hill, et al.			
		5,524,244	6/4/96	Robinson, et al.			
		5,553,282	9/3/96	Parrish, et al.			
		5,555,367	9/10/96	Premarlani, et al.			
		5,555,427	9/10/96	Aoe, et al.			
		5,560,003	9/24/96	Nilsen, et al.			
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		5,577,231	11/19/96	Scalzi, et al.			
		5,594,921	1/14/97	Pettus			
		5,603,031	2/11/97	White, et al.			
		5,680,573	10/21/97	Rubin, et al.			
		5,680,617	10/21/97	Gough, et al.			
		5,684,955	11/4/97	Meyer, et al.			
		5,689,709	11/18/97	Corbett, et al.			
		5,706,435	1/6/98	Barbara, et al.			
		5,706,502	1/6/98	Foley, et al.			
		5,724,588	3/3/98	Hill, et al.			
		5,727,145	3/10/98	Nessett, et al.			
		5,617,537	4/1/97	Yamada, et al.			
		5,628,005	5/6/97	Hurvig			
		5,640,564	6/17/97	Hamilton, et al.			

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		5,644,768	7/1/97	Periwal, et al.			
		5,652,888	7/29/97	Burgess, et al.			
		5,655,148	8/5/97	Richman, et al.			
		5,659,751	8/19/97	Heninger			
		5,671,225	9/23/97	Hooper, et al.			
		5,675,796	10/7/97	Hodges, et al.			
		5,737,607	4/7/98	Hamilton, et al.			
		5,745,678	4/28/98	Herzberg, et al.			
		5,745,695	4/28/98	Gilchrist, et al.			
		5,745,703	4/28/98	Cejtin, et al.			
		5,745,755	4/28/98	Covey			
		5,748,897	5/5/98	Katiyar			
		5,754,849	5/19/98	Dyer, et al.			
		5,757,925	5/26/98	Faybishenko			
		5,761,656	6/2/98	Ben-Shachar			
		5,764,897	6/9/98	Khalidi			
		5,768,532	6/16/98	Megerian			
		5,774,551	6/30/98	Wu, et al.			
		5,778,228	7/7/98	Wei			
		5,778,368	7/7/98	Hogan, et al.			
		5,787,425	7/28/98	Bigus			
		5,787,431	7/28/98	Shaughnessy			
		5,790,548	8/4/98	Sistanizadeh, et al.			
		5,802,367	9/1/98	Held, et al.			
		5,808,911	9/15/98	Tucker, et al.			
		5,809,507	9/15/98	Cavanaugh, III			
		5,813,013	9/22/98	Shakib, et al.			
		5,815,149	9/29/98	Mutschler, III et al.			
		5,815,709	9/29/98	Waldo, et al.			
		5,815,711	9/29/98	Sakamoto, et al.			

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		5,818,448	10/6/98	Katiyar			
		5,829,022	10/27/98	Watanabe, et al.			
		5,832,219	11/3/98	Pettus			
		5,832,529	11/3/98	Wollrath, et al.			
		5,832,593	11/10/98	Wurst, et al.			
		5,835,737	11/10/98	Sand, et al.			
		5,842,018	11/24/98	Atkinson, et al.			
		5,844,553	12/1/98	Hao, et al.			
		5,845,129	12/1/98	Wendorf, et al.			
		5,860,004	1/12/99	Fowlow, et al.			
		5,860,153	1/12/99	Matena, et al.			
		5,864,862	1/26/99	Kriens, et al.			
		5,864,866	1/26/99	Henckel, et al.			
		5,872,928	2/16/99	Lewis, et al.			
		5,872,973	2/16/99	Mitchell, et al.			
		5,875,335	2/23/99	Beard			
		5,878,411	3/2/99	Burroughs, et al.			
		5,884,024	3/16/99	Lin, et al.			
		5,884,079	3/16/99	Furusawa			
		5,887,134	3/23/99	Ebrahim			
		5,890,158	3/30/99	House, et al.			
		5,892,904	4/6/99	Atkinson, et al.			
		5,933,497	8/3/99	Beetcher, et al.			
		5,935,249	8/10/99	Stern, et al.			
		5,940,827	8/17/99	Hapner, et al.			
		5,966,531	10/12/99	Skeen, et al.			
		5,969,967	10/19/99	Aahlad, et al.			
		5,987,506	11/16/99	Carter, et al.			
		5,999,179	12/7/99	Kekic, et al.			
		6,003,763	12/21/99	Gallagher, et al.			

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		6,009,103	12/28/99	Woundy			
		6,016,496	1/18/00	Roberson			
		6,026,414	2/15/00	Anglin			
		6,031,977	2/29/00	Pettus			
		6,061,699	5/9/00	DiCecco, et al.			
		6,061,713	5/9/00	Bharadhwaj			

FOREIGN PATENT DOCUMENTS

EXAM. INITIALS	REF. DES.	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES/NO
		11-45187	10/10/97	JP			
		2 253 079	8/26/92	GB			
		2 262 825	6/30/93	GB			
		2 305 087	3/26/97	GB			
		300 516	1/25/89	EP			
		351 536	1/24/90	EP			
		384 339	8/29/90	EP			
		472 874	3/4/92	EP			
		474 340	3/11/92	EP			
		497 022	8/5/92	EP			
		555 997	8/18/93	EP			
		565 849	10/20/93	EP			
		569 195	11/10/93	EP			
		697 655	2/21/96	EP			
		660 231	6/28/95	EP			
		651 328	5/3/95	EP			
		625 750	11/23/94	EP			
		718 761	6/26/96	EP			
		767 432	4/9/97	EP			

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		778 520	6/11/97	EP			
		794 493	9/10/97	EP			
FOREIGN PATENT DOCUMENTS							
EXAM. INITIALS	REF. DES.	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES/NO
		803 810	10/29/97	EP			
		803 811	10/29/97	EP			
		805 393	11/5/97	EP			
		810 524	12/3/97	EP			
		817 020	1/7/98	EP			
		817 022	1/7/98	EP			
		817 025	1/7/98	EP			
		836 140	4/15/98	EP			
		92/07335	4/30/92	WO			
		92/09948	6/11/92	WO			
		93/25962	12/23/93	WO			
		94/03855	2/17/94	WO			
		96/10787	4/11/96	WO			
		96/03692	2/8/96	WO			
		96/18947	6/20/96	WO			
		96/24099	8/8/96	WO			
		98/02814	1/22/98	WO			
		98/04971	2/5/98	WO			
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)							
		Jaworski, "Java 1.1 Developer's Guide, 2 nd Edition," Sams.net, 1997.					
		Coulouris, et al., "Distributed Systems Concepts and Designs," Second Edition, Addison-Wesley, 1994.					
		Mullender, "Distributed Systems," Second Edition, Addison-Wesley, 1993.					
		Lindholm, et al., "The Java TM Virtual Machine Specification," Addison Wesley, 1996.					
		"SOAP: Simple Object Access Protocol," msdn online Web Workshop, Microsoft, April 26, 2000, http://msdn.Microsoft.com/xml/general/soapspec.asp , 34 pages.					

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		Rob Guth, "Sun tries on JcaSpaces for Distributed OS," August 1997, Vol. 19, Issue 34, 2 pages.
		Microsoft, "Microsoft.NET: Realizing the Next Generation Internet," A Microsoft White Paper, June 2000, 8 pages.
		K. F. Eustice, et al., "A Universal Information Appliance," IBM Systems Journal, Vol. 38, No. 4, 1999, Pp. 575-601.
		Wycoff et al., "T Spaces," IBM Systems Journal, Vol. 37, No. 3-Java Technology, August 1998, 36 pages.
		Steve Morgan, "Jini to the Rescue," IEEE Spectrum, April 2000, Vol. 37, No. 4, 8 pages.
		"Java TM Remote Method Invocation Specification," Sun Microsystems, Inc., <java.sun.com/products/dk1.2beta1>, 1997.
		Agha, et al., "Actorspaces: An Open Distributed Programming Paradigm," University of Illinois, Report No. UIUCDCS-R-92-1766, Open Systems Laboratory TR NO. 8, pp. 1-12, November 1992.
		Ahmed, et al., "A Program Building Tool for Parallel Applications," Yale University, pp. 1-23, December 1, 1993.
		Aldrich, et al., "Providing Easier Access to Remote Objects in Client-Server Systems," System Sciences, 1998, Proceedings of the 31 st Hawaii Internat'l. Conference, Jan. 6-9, 1998, pp. 366-375.
		Aldrich, et al., "Providing Easier Access to Remote Objects in Distributed Systems," Calif. Institute of Technology, www.cs.Caltech.edu/%7Ejedi/paper.html, Nov. 21, 1997.
		Anderson, et al., "Persistent Linda: Linda + Transaction + Query Processing," Proceedings of the 13 th Symposium on Fault Tolerant Systems, pp. 93-109, 1991.
		"Transparent Network Computing," Locus Computing Corporation, January 5, 1995.
		Alexander, et al., "Active Bridging," Proceedings of the ACM/SIGCOMM'97 Conference, Cannes, France, September, 1997.
		Beech, et al., "Object Databases as Generalizations of Relational Databases," Computer Standards & Interfaces, Vol. 13, Nos. 1/3 pp. 221-230, Amsterdam, NL, January 1991.
		Bertino, et al., "Object-Oriented Database Management Systems: Concepts and issues," Computer, Vol. 24, No. 4, pp. 33-47, Los Alamitos, CA, April 1991.
		Betz, et al., "Interoperable Objects: Laying the Foundation for Distributed Object Computing," Dr. Dobb's Journal, Vol. 19, NO. 11, page 18(13), October 1994.
		Bevan, et al., "An Efficient Reference Counting Solution To The Distributed Garbage Collection Problem," Parallel Computing, NL, Elsevier Science Publishers, Amsterdam, Vol. 9, No. 2, pages 179-192, January 1989.
		Birrell, et al., "Distributed Garbage Collection for Network Objects," Digital Systems Research Center, NO. 116, pages 1-18, December 15, 1993.
		Birrell, et al., "Grapevine: An Exercise in Distributed Computing," Communications fo the ACM, Vol. 25, No. 4, pp. 260-274, April 1982.
		Birrell, et al., "Network Objects," DEC SRC Research Report 115, February 28, 1995.

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		Birrell, et al., "Implementing Remote Procedure Calls," ACM Transactions on Computer Systems, Vol. 2, No. 1, pp. 39-59, February 1994.
		Birrell, et al., "Network Objects," Operating Systems Review, 27(5), pp. 217-230, December 1993.
		Cannon, et al., "Adding Fault-Tolerant Transaction Processing to LINDA," Software-Practice and Experience, Vol. 24(5), pp. 449-466, May 1994.
		Cardelli, "Obliq, A Lightweight Language For Network Objects," Digital SRC, pp. 1-37, November 5, 1993.
		Carriero, et al., "Distributed Data Structures in Linda," Principles of Programming Language, pp. 1-16, 1986.
		Carriero, et al., "Distributed Data Structures in Linda," Yale Research Report YALEU/DCS/RR-438, November 1985.
		Chung, et al., "A Tiny' Pascal Compiler: Part 1: The P-Code Interpreter," BYTE Publications, Inc., September 1978.
		Chung, et al., "A Tiny' Pascal Compiler: Part 2: The P-Compiler," BYTE Publications, Inc., October 1978.
		Dave, et al., "Proxies, Application Interface, And Distributed Systems," Proceedings International Workshop On Object Orientation In Operating Systems, pages 212-220, September 24, 1992.
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		Dolev, et al., "On the Minimal Synchronism Needed for Distributed Consensus," Journal of the ACM, Vol. 34, NO. 1, pp. 77-97, January 1987.
		Dollimore, et al., "The design of a System for Distributing Shared Objects," The Computer Journal, No. 6, Cambridge, GB, December 1991.
		Dourish, "A Divergence-Based Model of Synchrony and Distribution in Collaborative Systems," Xerox Technical Report EPC-1194-102, pp. 1-10, 1994.
		Drexler, et al., "Incentive Engineering for Computational Resource Management," The Ecology of Computation, Elsevier Science Publishers B.V., pp. 231-266, 1988.
		Gelernter, et al., "Parallel Programming in Linda," Yale University, pp. 1-21, January 1995.
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Form PTO-1449 (modified) List of Patents and Publications For Applicant's Information Disclosure Statement (Use several sheets if necessary)	ATTY. DKT. NO. 5181-49801 APPLICANT: Traversat et al. FILING DATE: Herewith	SERIAL NO. Unknown GROUP: Unknown
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Gosling, et al., "The Java TM Language Specification," Addison-Wesley, 1996.

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